

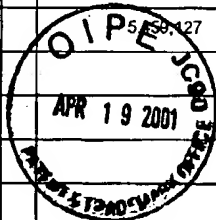
Attach to paper no. 3

43

SHEET 1 OF 6

FORM PTO-1449	U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE	ATTY. DOCKET NO. GTSYS.004A	APPLICATION NO. 09/738,046
INFORMATION DISCLOSURE STATEMENT BY APPLICANT (USE SEVERAL SHEETS IF NECESSARY)		APPLICANT Felgner et al.	
		FILING DATE December 15, 2000	GROUP Unknown

U.S. PATENT DOCUMENTS						
EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE (IF APPROPRIATE)
32	4,160,452	07/10/79	Theeuwes	128	260	
32	4,256,108	03/17/81	Theeuwes	128	260	
32	4,265,874	05/05/81	Bonsen et al.	424	15	
32	4,897,355	01/30/90	Eppstein et al.	435	240.2	
32	5,264,618	11/23/93	Felgner et al.	560	224	
32	5,264,618	10/17/95	Felgner et al.	514	7	



FOREIGN PATENT DOCUMENTS							
EXAMINER INITIAL	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
						YES	NO
32	WO 98/19503	05/07/98	PCT WIPO				

EXAMINER INITIAL	OTHER DOCUMENTS (INCLUDING AUTHOR, TITLE, DATE, PERTINENT PAGES, ETC.)	
32	1.	Bukanov, et al., <u>PD-loop: A complex of duplex DNA with an oligonucleotide</u> ; <i>Proc. Natl. Acad. Sci. USA</i> 95:5516-5520 (1998)
32	2.	Cherny, et al., <u>DNA unwinding upon strand-displacement binding of a thymine-substituted polyamine to double-stranded DNA</u> ; <i>Proc. Natl. Acad. Sci. USA</i> 90:1667-1670 (1993)
32	3.	Du, et al., <u>Conformational and topological requirements of cell-permeable peptide function</u> ; <i>J. Peptide Res.</i> 51:235-243 (1998)
32	4.	Egholm, et al., <u>Efficient pH-independent sequence-specific DNA binding by pseudoisocytosine-containing bis-PNA</u> ; <i>Nucl. Acids Res.</i> 23(2):217-222 (1995)
32	5.	Felgner, et al., <u>Enhanced Gene Delivery and Mechanism Studies with a Novel Series of Cationic Lipid Formulations</u> ; <i>J. Biol. Chem.</i> 269(4):2550-2561 (1994)

EXAMINER	<i>[Signature]</i>	DATE CONSIDERED	4/20/04
*EXAMINER: INITIAL IF CITATION CONSIDERED, WHETHER OR NOT CITATION IS IN CONFORMANCE WITH MPEP 609; DRAW LINE THROUGH CITATION IF NOT IN CONFORMANCE AND NOT CONSIDERED, INCLUDE COPY OF THIS FORM WITH NEXT COMMUNICATION TO APPLICANT.			

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EXAMINER INITIAL	OTHER DOCUMENTS (INCLUDING AUTHOR, TITLE, DATE, PERTINENT PAGES, ETC.)	
32	6.	Felgner, et al., <u>Lipofection: A highly efficient, lipid-mediated DNA-transfection procedure</u> ; <i>Proc. Natl. Acad. Sci. USA</i> 84:7413-7417 (1987)
32	7.	Felgner, et al., <u>Editorial - Nomenclature for Synthetic Gene Delivery Systems</u> ; <i>Hum. Gene Ther.</i> 8:511-512 (1997)
32	8.	Glennie and Johnson, <u>Clinical trials of antibody therapy</u> ; <i>Immunol. Today</i> 21:403-410 (2000)
32	9.	Gregoriadis, et al., <u>Liposome-mediated DNA vaccination</u> ; <i>FEBS Lett.</i> 402:107-110 (1997)
32	10.	Gregoriadis, et al., <u>Vaccine Entrapment in Liposomes</u> ; <i>Methods</i> 19:156-162 (1999)

EXAMINER	<i>[Signature]</i>	DATE CONSIDERED	4/20/09
*EXAMINER: INITIAL IF CITATION CONSIDERED, WHETHER OR NOT CITATION IS IN CONFORMANCE WITH MPEP 609; DRAW LINE THROUGH CITATION IF NOT IN CONFORMANCE AND NOT CONSIDERED, INCLUDE COPY OF THIS FORM WITH NEXT COMMUNICATION TO APPLICANT.			

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U.S. PATENT DOCUMENTS							
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EXAMINER INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
							YES	NO

EXAMINER INITIAL	OTHER DOCUMENTS (INCLUDING AUTHOR, TITLE, DATE, PERTINENT PAGES, ETC.)	
32	11.	Hong, et al.; <u>Stabilization of cationic liposome-plasmid DNA complexes by polyamines and poly(ethylene glycol)-phospholipid conjugates for efficient in vivo gene delivery</u> ; <i>FEBS Lett.</i> 400:233-237 (1997)
32	12.	Leserman and Barbet, <u>Targeting to cells of fluorescent liposomes covalently coupled with monoclonal antibody or protein A</u> ; <i>Nature</i> 288:602-604 (1980)
32	13.	Liu, et al., <u>Factors influencing the efficiency of cationic liposome-mediated intravenous gene delivery</u> ; <i>Nature Biotech.</i> 15:167-173 (1997)
32	14.	Mhashilkar, et al., <u>Inhibition of HIV-1 Tat-mediated LTR transactivation and HIV-1 infection by anti-Tat single chain intrabodies</u> ; <i>EMBO J.</i> 14:1542-1551 (1995)
32	15.	Mhashilkar, et al., <u>Inhibition of Human Immunodeficiency Virus Type 1 Replication in Vitro in Acutely and Persistently Infected Human CD4 Mononuclear Cells Expressing Murine and Humanized Anti-Human Immunodeficiency Virus...</u> ; <i>Hum. Gene Ther.</i> 10:1453-1467 (1999)

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FORM PTO-1449 U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE INFORMATION DISCLOSURE STATEMENT BY APPLICANT (USE SEVERAL SHEETS IF NECESSARY)	ATTY. DOCKET NO. GTSYS.004A	APPLICATION NO. 09/738,048
	APPLICANT Feigner et al.	
	FILING DATE December 15, 2000	GROUP Unknown

U.S. PATENT DOCUMENTS							
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FOREIGN PATENT DOCUMENTS								
EXAMINER INITIAL	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION		
						YES	NO	

EXAMINER INITIAL	OTHER DOCUMENTS (INCLUDING AUTHOR, TITLE, DATE, PERTINENT PAGES, ETC.)
32	16. Mhashikar, et al., Inhibition of Human Immunodeficiency Virus Type 1 Replication in vitro by a Novel Combination of Anti-Tat single-Chain Intrabodies and NF-KB Antagonists; <i>J. Virol.</i> 71:6486-6494 (1997)
32	17. Reicherl, <u>New biopharmaceuticals in the USA: trends in development and marketing approvals 1955-1998</u> ; <i>Trends Biotechnol.</i> 16:370-375 (1998)
32	18. Rojas, et al., <u>Controlling Epidermal Growth Factor (EGF)-stimulated Ras Activation in Intact Cells by a Cell-permeable peptide Mimicking Phosphorylated EGF Receptor</u> ; <i>J. Biol. Chem.</i> 271:27458-27461 (1996)
32	19. Rojas, et al., <u>Genetic engineering of proteins with cell membrane permeability</u> ; <i>Nature Biotechnol.</i> 16:370-375 (1998)
32	20. Schwarze, et al., <u>In Vivo Protein Transduction: Delivery of a Biologically Active Protein into the Mouse</u> ; <i>Science</i> 285:1569-1572 (1999)

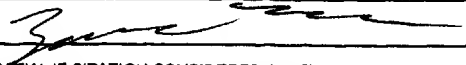
EXAMINER	<i>32</i>	DATE CONSIDERED	4/26/04
*EXAMINER: INITIAL IF CITATION CONSIDERED, WHETHER OR NOT CITATION IS IN CONFORMANCE WITH MPEP 609; DRAW LINE THROUGH CITATION IF NOT IN CONFORMANCE AND NOT CONSIDERED, INCLUDE COPY OF THIS FORM WITH NEXT COMMUNICATION TO APPLICANT.			

FORM PTO-1449 U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE INFORMATION DISCLOSURE STATEMENT BY APPLICANT (USE SEVERAL SHEETS IF NECESSARY)	ATTY. DOCKET NO. GTSYS.004A	APPLICATION NO. 09/738,046
	APPLICANT Felgner et al.	
	FILING DATE December 15, 2000	GROUP Unknown

U.S. PATENT DOCUMENTS							
EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE (IF APPROPRIATE)	

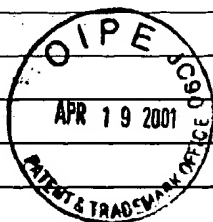
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						YES	NO	

EXAMINER INITIAL	OTHER DOCUMENTS (INCLUDING AUTHOR, TITLE, DATE, PERTINENT PAGES, ETC.)	
32	21.	Schwarze, et al., <u>Protein transduction: unrestricted delivery into all cells?</u> ; <i>Trends Cell Biol.</i> 10:290-295 (2000)
32	22.	Tseng, et al., <u>Transfection by Cationic Liposomes Using Simultaneous Single Cell Measurements of Plasmid Delivery and Transgene Expression</u> ; <i>J. Biol. Chem.</i> 272:25641-25647 (1997)
32	23.	Zelphati, et al., <u>Gene Chemistry: Functionally and Conformationally Intact Fluorescent Plasmid DNA</u> ; <i>Hum. Gene Ther.</i> 10:15-24 (1999)
32	24.	Zelphati, et al., <u>Intracellular Distribution and Mechanism of Delivery of Oligonucleotides Mediated by Cationic Lipids</u> ; <i>Pharm. Res.</i> 13:1367-1372 (1996)
32	25.	Zelphati, et al., <u>Mechanism of oligonucleotide release from cationic liposomes</u> ; <i>Proc. Natl. Acad. Sci. USA</i> 93:11493-11498 (1996)

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INFORMATION DISCLOSURE STATEMENT BY APPLICANT (USE SEVERAL SHEETS IF NECESSARY)		APPLICANT Felgner et al.	
		FILING DATE December 15, 2000	GROUP Unknown

U.S. PATENT DOCUMENTS							
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FOREIGN PATENT DOCUMENTS								
EXAMINER INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
							YES	NO

EXAMINER INITIAL	OTHER DOCUMENTS (INCLUDING AUTHOR, TITLE, DATE, PERTINENT PAGES, ETC.)	
26.	Zelphali, et al., <u>PNA-Dependent Gene Chemistry: Stable Coupling of Peptides and Oligonucleotides to Plasmid DNA</u> ; <i>BioTechniques</i> 28:304-310 (2000)	

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SHEET 1 OF 1

#4

FORM PTO-1449	U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE	ATTY. DOCKET NO. GTSYS.004A	APPLICATION NO. 09/738,046
SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT BY APPLICANT		RECEIVED JUN 21 2001	
APPLICANT Felgner et al.		FILING DATE December 15, 2000	
GROUP 2651		Technology Center 2600	

U.S. PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE (IF APPROPRIATE)
						RECEIVED AUG 22 2001 TECH CENTER 1600/2900
						RECEIVED AUG 17 2001 Technology Center 2600
						RECEIVED JUL 31 2001 Technology Center 2100

FOREIGN PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION
						YES NO
32	1 WO 99/13719	03/25/99	PCT WIPO			
32	2 WO 99/58152	11/18/99	PCT			
32	3 WO 99/08997	02/25/99	PCT WIPO			

OTHER DOCUMENTS (INCLUDING AUTHOR, TITLE, DATE, PERTINENT PAGES, ETC.)

EXAMINER INITIAL	OTHER DOCUMENTS (INCLUDING AUTHOR, TITLE, DATE, PERTINENT PAGES, ETC.)
	4 International Search Report from PCT/US00/33060
32	5 Abal A. M. et al.; "Mechanism of Cationic Lipid / Cell Interactions and a General Strategy for Intracellular Protein Delivery"; <i>Journal of Cell Biology</i> , vol. 111, no. 5 part 2; 1990; page 380A.
32	6 Afzelius, P., et al.; "Covalent Modification of Serum Transferrin with Phospholipid and Incorporation into Liposomal Membranes"; Biosciences Information Service, Philadelphia, PA, US; 1989; database accession no. PREV198987111700 XP002166274.
32	7 Schwendener R.A., et al.; "Comparative Studies of the Preparation of Immunoliposomes with the Use of Two Bifunctional Coupling Agents and Investigation of In-Vitro Immunoliposome-Target Cell Binding By Cytofluorimetry and Electron Microscopy"; Biosciences Information Service, Philadelphia, PA, US; 1990; database accession no. PREV199090083433 XP002166275.
32	8 Zelphati, Oliver, et al.; "Gene Chemistry: Functionally and Conformationally Intact Fluorescent Plasmid DNA"; Biosciences Information Service, Philadelphia, PA, US; January 1, 1999; database accession no. PREV19990008284 XP002166276.
32	9 Zheng, Lian, et al.; "Delivery of Liposome-Encapsulated HIV Type 1 Proteins to Human Dendritic Cells for Stimulation of HIV Type 1-Specific Memory Cytotoxic T Lymphocyte Responses"; <i>AIDS Research and Human Retroviruses</i> , vol. 15, no. 11; July 20, 1999; pages 1011-1020.

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INFORMATION DISCLOSURE STATEMENT BY APPLICANT		APPLICANT Feigner, et al.	
(USE SEVERAL SHEETS IF NECESSARY)		FILING DATE December 15, 2000	GROUP 1835

U.S. PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE (IF APPROPRIATE)
32	5,459,127	10/1995	Feigner, et al.			
32	6,075,012	06/2000	Gebeyehu, et al.			

FOREIGN PATENT DOCUMENTS

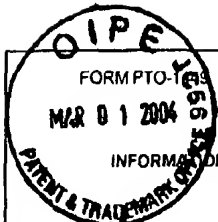
EXAMINER INITIAL	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
						YES	NO

OTHER DOCUMENTS (INCLUDING AUTHOR, TITLE, DATE, PERTINENT PAGES, ETC.)

EXAMINER INITIAL	OTHER DOCUMENTS (INCLUDING AUTHOR, TITLE, DATE, PERTINENT PAGES, ETC.)
	2 International Search Report re: PCT/US03/13873; Date of mailing of ISR: September 10, 2003.
32	3 Walker, et al., "Cationic lipids direct a viral glycoprotein into the class I major histocompatibility complex antigen-presentation pathway", Proc. Natl. Acad. Sci. USA, September 1992, Vol. 89, pp. 7915-7918.
32	4 Ljungstrom, et al., "Cellular uptake of adamantyl conjugated peptide nucleic acids", Bioconjugate Chem. 1999, Vol. 10, pp. 965-972.

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EXAMINER <i>[Signature]</i>	DATE CONSIDERED 4/19/2004
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SHEET 1 OF 1

FORM PTO-159 MAR 01 2004 INFORMATION DISCLOSURE STATEMENT BY APPLICANT (USE SEVERAL SHEETS IF NECESSARY)	U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE	ATTY. DOCKET NO. GTSYS.004A	APPLICATION NO. 09/738,048
	APPLICANT Felgner, et al.		
	FILING DATE December 15, 2000	GROUP 1648	

U.S. PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE (IF APPROPRIATE)
34	6,433,017 B1	08/2002	Felgner, et al.			

FOREIGN PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
						YES	NO

EXAMINER INITIAL	OTHER DOCUMENTS (INCLUDING AUTHOR, TITLE, DATE, PERTINENT PAGES, ETC.)

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EXAMINER <i>[Signature]</i>	DATE CONSIDERED 4/19/04
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